

FORM PTO-1449 JAN 14 2002		Atty. Docket No.: 1151.1104101	Serial No.: 09/964,079
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		Applicant: Robert S. Kieyal et al.	
		Filing Date:	
		September 26, 2001	

U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
JR	AA 2001/0020177 A1	09/06/01	Gruzdowich et al.			01/22/2001
	DK RE 30,366	08/12/80	Rasor et al.			
	AB 3,645,267	02/29/72	Hagfors			
	AC 3,650,277	03/21/72	Sjostrand et al.			
	AD 4,014,318	03/29/77	Dockum et al.			
	AE 4,256,094	03/17/81	Kapp et al.			
	AF 4,331,157	05/25/82	Keller, Jr. et al.			
	AG 4,525,074	06/25/85	Murakami			
	AH 4,551,862	11/12/85	Haber			
	AI 4,586,501	05/06/86	Claracq			
	AJ 4,640,286	02/03/87	Thomson			
	AK 4,682,583	07/28/87	Burton et al.			
	AL 4,702,254	10/27/87	Zabara			
	AM 4,709,690	12/01/87	Habor			
	AN 4,739,762	04/26/88	Palmaz			
	AO 4,762,130	08/09/88	Fogarty et al.			
	AP 4,762,820	08/09/88	Gavrus			
	AQ 4,770,177	09/13/88	Schroepel			
	AR 4,791,931	12/20/88	Slate			
	AS 4,800,882	01/31/89	Gianturco			
	AT 4,803,988	02/14/89	Thomson			
✓	AU 4,813,418	03/21/89	Harris			
JR	AV 4,828,544	05/09/89	Lane et al.			
	AW 4,860,751	08/29/89	Callaghan			
	AX 4,867,164	09/19/89	Zabara			
✓	AY 4,881,939	11/21/89	Newman			

Frances P. Oeppen 9/20/04

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
JPO	AZ 4,886,062	12/12/89	Wiktor			
	BA 4,887,508	12/19/89	Mohl et al.			RECEIVED
	BB 4,917,092	04/17/90	Todd et al.			JAN 1 8 2002 TECHNOLOGY CENTER R3700
	BC 4,969,458	11/13/90	Wiktor			
	BD 5,025,807	06/25/91	Zabara			
	BE 5,078,736	01/07/92	Behl			
↓	BF 5,113,869	05/19/92	Nappholz et al.			
JPO	BG 5,117,826	06/02/92	Bartelt et al.			
JPO	BH 5,170,802	12/15/92	Mehra			
JPO	BI 5,181,911	01/26/93	Shturman			
↓	BJ 5,199,428	04/06/93	Obel et al.			
↓	BK 5,222,971	06/29/93	Willard et al.			
↓	BL 5,295,959	03/22/94	Gurbel et al.			
JPO	BM 5,299,569	04/04/94	Wernicke et al.			
	BN 5,304,206	04/19/94	Baker, Jr. et al.			
	BO 5,314,453	05/24/94	Jeutter			
	BP 5,318,592	06/07/94	Schaldach			
	BQ 5,330,507	07/19/94	Schwartz			
↓	BR 5,330,515	07/19/94	Rutecki et al.			
JPO	BS 5,458,626	10/17/95	Krause			
	BT 5,509,888	04/23/96	Miller			
	BU 5,522,854	06/04/96	Ideker et al.			
	BV 5,529,067	06/25/96	Larsen et al.			
	BW 5,531,779	06/04/96	Dahl et al.			
	BX 5,535,752	07/16/96	Halperin et al.			
	BY 5,540,734	07/30/96	Zabara			
↓	BZ 5,545,132	08/13/96	Fagan et al.			
JPO	CA 5,575,809	11/19/96	Sasaki			
↓	CB 5,578,061	11/26/96	Stroetmann et al.			
JPO	CC 5,634,878	06/03/97	Grundei et al.			
↓	CD 5,651,378	07/29/97	Matheny et al.			
↓	CE 5,690,681	11/25/97	Geddes et al.			
JPO	CF 5,692,882	12/02/97	Bozeman, Jr. et al.			
↓	CG 5,695,468	12/09/97	Lafontaine et al.			

Frances P. Owsiany 9/20/04

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
JPO	CH 5,700,282	12/23/97	Zabara			
	CI 5,707,400	01/05/98	Terry, Jr. et al.			
	CJ 5,715,837	02/10/98	Chen			
	CK 5,725,471	03/10/98	Davey et al.			
	CL 5,725,563	03/10/98	Klotz			
	CM 5,727,558	03/17/98	Hakki et al.			
	CN 5,741,316	04/21/98	Chen et al.			
	CO 5,800,464	09/01/98	Kieval			
	CP 5,807,258	09/15/98	Cimochowski et al.			
	CQ 5,814,079	09/29/98	Kieval			
	CR 5,824,021	10/20/98	Rise			
	CS 5,876,422	03/02/99	van Groeningen			
	CT 5,891,181	04/06/99	Zhu			
	CU 5,913,876	06/22/99	Taylor et al.			
	CV 5,916,239	06/29/99	Geddes et al.			
	CW 5,928,272	07/27/99	Adkins et al.			
	CX 5,967,986	10/19/99	Cimochowski et al.			
	CY 5,967,989	10/19/99	Cimochowski et al.			
	CZ 5,987,352	11/16/99	Klein et al.			
	DA 6,006,134	12/21/99	Hill et al.			
	DB 6,023,642	02/08/00	Shealy et al.			
	DC 6,050,952	04/18/00	Hakki et al.			
	DD 6,052,623	04/18/00	Fenner et al.			
	DE 6,058,331	05/02/00	King			
	DF 6,061,596	05/09/00	Richmond et al.			
	DG 6,073,048	06/06/00	Kieval et al.			
	DH 6,077,227	06/20/00	Miesel et al.			
	DI 6,077,298	06/20/00	Tu et al.			
	DJ 6,161,029	12/12/00	Spreigl et al.			
	DK 6,178,349 B1	01/23/01	Kieval			
	DL 6,231,516 B1	05/15/01	Keilman et al.			
V	DM 6,292,695 B1	09/18/01	Webster, Jr. et al.			

Frances P. Oespey 9/20/04

O I P E

FOREIGN PATENT DOCUMENTS

		Document No.	Date	Country	Class	Sub-Class	RECEIVED Translation Yes <input checked="" type="checkbox"/> No
	DN	WO 99/26530 <i>& TRADEMARK SEARCHED</i>	06/03/99	PCT		JAN 18 2002	
✓ JPO	DO	WO 99/42039	08/26/99	PCT		TECHNOLOGY CENTER R3700	
✓ JPO	DP	WO 99/42176	08/26/99	PCT			
✓ JPO	DQ	WO 97/18856	05/29/97	PCT			

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

✓ JPO	DR	U.S. Patent Application Serial No. 09/963,991, filed September 26, 2001, entitled "Mapping Methods for Cardiovascular Reflex Control Devices", to Robert S. Kieval et al.
✓ JPO	DS	U.S. Patent Application Serial No. 09/963,777, filed September 26, 2001 entitled "Electrode Designs and Methods of Use for Cardiovascular Reflex Control Devices" to Robert S. Kieval et al.
✓ JPO	DT	"Cardiovascular Reflexes From Ventricular & Coronary Receptors", <u>Adv. Exp. Med. Biol.</u> , 1995, 381:157-74.
✓ JPO	DU	"Non-Invasive Heat-Delivery To Arterial Stented Segments In Vivo: Effect of Heat on Intimal Hyperplasia", <u>JACC</u> , 1041-89, February 2000.
✓ JPO	DV	"The Haemodynamic Basis of Anginal Relief Produced By Stimulation of the Carotid Sinus Nerve", <u>Acta Medica Academiae Scientiarum Hungaricae</u> , 30 (1-2), pp. 61-65, 1973.
✓ JPO	DW	Correspondence, <u>The New England of Journal of Medicine</u> , Vol. 281, July 3, 1969, No. 2.
✓ JPO	DX	"Carotid Sinus Stimulation For the Treatment of Angina Pectoris", <u>Official Journal of the Calif. Medical Assoc.</u> , Vol. 112, No. 3, pps. 78-79, March 1970.
✓ JPO	DY	"Circulatory Effects of Carotid Sinus Stimulation & Changes in Blood Volume Distribution in Hypertensive Man", <u>Acta. Physiol. Scand.</u> , 1981, 111:299-306, March 1981.
✓ JPO	DZ	"Surgical Treatment of Hypertension with Reference to Baropacing", <u>The Amer. Jour. Of Cardiology</u> , Vol. 17, May 1966, pps. 663-667.
✓ JPO	EA	"Baropacing of the Carotid Sinus Nerve for Treatment of Intractable Hypertension", <u>Zeitschrift Für Kardiologie</u> , band 64, Heft 4, pps. 368-374, 1975.
✓ JPO	EB	"Laryngospasm Induced by a Carotid-Sinus-Nerve Stimulator", <u>The New England Journ. Of Med.</u> , No. 13, pps. 709-710, undated, admitted prior art.
✓ JPO	EC	"Fine Structure of Baroreceptor Terminals in the Carotid Sinus of Guinea Pigs & Mice", <u>Cell & Tissue Research</u> , 170, pps. 95-112 , 1976.
✓ JPO	ED	"Structure of Rat Aortic Baroreceptors & Their Relationship to Connective Tissue", <u>Journal of Neurocytology</u> , pps. 401-414, 1979.
✓ JPO	EE	"Baroreflex Anatomy", <u>Human Baroreflexes in Health & Disease</u> , pps. 19-30, 1992.
✓ JPO	EF	"Implantation of a Carotid Sinus Nerve Stimulator", <u>AORN Journal</u> , pps. 53-56, December 1969.
✓ JPO	EG	"The Treatment of Heart Disease", <u>Heart Disease</u> , Earl N. Silber, 2 nd Edition, MacMillan Publishing Co., pg. 1642, 1987.
✓ JPO	EH	"Stimulation of the Carotid Baroreceptors Using a Radio-Frequency Method", <u>Israel J. Med. Sci.</u> , Vol. 1, No. 4, July 1965, pps. 630-632.
✓ JPO	EI	"Studies on the Carotid Body & the Carotid Sinus Effects on the Heart by Electrical Stimulation of the Carotid Sinus Wall", <u>Jap. Heart J.</u> , Vol. 13, No. 2, March 1972, pps. 136-149
✓ JPO	EJ	"Abstracts of the 40 th Scientific Sessions", Supplement II to Circulation, Vols. XXXV & XXXVI, October 1967, II-253, 1 sheet.
✓ JPO	EK	Transvenous parasympathetic nerve stimulation in the inferior vena cava and atrioventricular conduction", <u>J. Cardiovasc. Electrophysiol.</u> , January 2000, 1 page.
✓ JPO	EL	"New Technique for Vagal Nerve Stimulation", <u>Journal of Neuroscience Methods</u> , 1999, pp. 109-114.
✓ JPO	EM	"Clinical Experience with a Helical Bipolar Stimulating Lead", <u>PACE</u> , Vol. 15, Part II, October 1992, pp. 1545-1556.

EXAMINER:

Frances P. O'Dwyer

DATE CONSIDERED: 9/20/04

CITATION: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449

APR 24 2002

Atty. Docket No.:

1151.1104101

Serial No.:

09/964,070

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION
DISCLOSURE STATEMENT

Applicant: Robert Kieval et al.

Filing Date

Group Art:

September 26, 2001

APR 26 2002
TECHNOLOGY CENTER R3700
9762

U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
JPO AA	09/963,777		Perrson et al.			09/26/2001
	AB	09/963,991	Kieval et al.			09/26/2001
	AC	4,481,953	Gold et al.			
	AD	4,531,943	Van Tassel et al.			
	AE	4,641,664	Botvidsson			
	AF	4,664,120	Hess			
	AG	4,825,871	Cansell			
	AH	4,830,003	Wolff et al.			
	AI	4,960,133	Hewson			
	AJ	5,224,491	Mehra			
✓	AK	5,259,394	Bens			

FOREIGN PATENT DOCUMENTS

	Document No.	Date	Country	Class	Sub Class	Translation Yes No
	AL					
	AM					

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

JD	AN	Bilgutay, A.M., et al., "Baropacing, a New Concept in the Treatment of Hypertension", from Baroreceptors and Hypertension Proceedings of an International Symposium, November, 1965, Pg 425-437
	AO	

EXAMINER: *J. Oerfey*

DATE CONSIDERED: 9/20/04

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<i>Complete If Known</i>	
Application Number	09/964,079
Filing Date	September 26, 2001
First Named Inventor	ROBERT S. KIEVAL et al.
Art Unit	3762
Examiner Name	Unassigned
Attorney Docket Number	021433-000110US

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

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		Country Code ³	Number ⁴				
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OTHER PRIOR ART - NON-PATENT LITERATURE DOCUMENTS				
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				Application Number	09/964,079
				Filing Date	September 26, 2001
				First Named Inventor	KIEVAL
				Art Unit	3762
				Examiner Name	Unassigned
Page	1	of	2	Attorney Docket Number	021433-000110US

U.S. PATENT DOCUMENTS					
Examiner	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code ² (if known)			
JKO	1	3,943,936	03-16-1976	RASOR et al.	
	2	5,215,089	06-03-1993	BAKER, Jr.	
	3	5,540,735	07-30-1996	WINGROVE	
	4	5,545,202	08-13-1996	DAHL et al.	
	5	5,707,400	01-13-1998	TERRY, Jr. et al.	
	6	5,766,236	06-16-1998	DETTY et al.	
	7	5,861,015	01-19-1999	BENJA-ATHON	AUG 27 2003
	8	6,438,428	08-20-2002	AXELGAARD et al.	
	9	6,564,101	05-31-2003	ZIKRIA	TECHNOLOGY CENTER R3700
	10	2002/0005982	01-17-2002	BORLINGHAUS	
	11	2002/0103516	08-01-2002	PATWARDHAN et al.	
	12	2002/0151051	10-17-2002	LI	
	13	2003/0040785	02-27-2003	MASCHINO et al.	

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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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Examiner Signature	Frances P. Murphy	Date Considered	9/20/04
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¹ Applicant's unique citation designation number (optional). ² Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Complete if Known

Application Number	09/964,079
Filing Date	September 26, 2001
First Named Inventor	KIEVAL
Art Unit	3762
Examiner Name	Unassigned

Attorney Docket Number 021433-000110US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue numbers(s), publisher, city and/or country where published.	T ²
<i>JPO</i>	14	Brattstrom, A. and Warzel, H., Influence of Continuous and Intermittent (R-Wave Triggered) Electrical Stimulation of the Carotid Sinus Nerve on the Static Characteristic of the Circularoty Regulator;, Experientia 28:414-416, 1972.	
	15	Peters et al., The Principle of Electrical Carotid Sinus Nerve Stimulation: A Nerve Pacemaker System for Angina Pectoris and Hypertension Therapy, Annals of Biomedical Engineering, 8:445-458, 1980.	
	16	Peters, et al., Cardiovascular response to time delays of electrocardiogram-coupled electrical stimulation of carotid sinus nerves in dogs, Journal of the Autonomic Nervous Systems, 25:173-180, 1988.	
	17	Richter, et al., The Course of Inhibition of Sympathetic Activity during Various Patterns of Carotid Sinus Nerve Stimulation, Pflugers Arch., 317:110-123, 1970.	
	18	Sedin, Gunnar, Responses of the Cardiovascular System to Carotid Sinus Nerve Stimulation, Upsala J Med Sci, 81:1-17, 1976.	
	19	Warzel et. al., Effects of carotis sinus nerve stimulation at different times in the respiratory and cardiac cycles on variability of heart rate and blood pressure of normotensive and renal hypertensive dogs, Journal of the Autonomic Nervous System, 26:121-127, 1989.	
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Examiner Signature	<i>Frances P. Clewley</i>	Date Considered	9/20/04
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